

The Disability Services Commission

Shared Management Policy

Key words

Shared management / individualised funding / self-managed funding / shared management agreement

Policy statement

Individualised funding allocations from the Disability Services Commission WA ('Commission') are currently provided through a disability sector organisation ('Organisation') of the individual's choice and, where appropriate, family members' choice or through Local Area Coordination. This policy applies to options supported by an Organisation.

For Organisation supported options, shared management refers to the agreed sharing of funding management and service management responsibilities between the individual and/or family and the Organisation.

Shared management enables individuals and/or families to undertake responsibility for activities related to the management of the individual's supports and funding, according to the individual's and/or family's capacity and preferences. This can include activities such as staff recruitment, staff training, employment of staff and payment of staff. Individuals and/or families can choose what activities they want to be involved in, how much involvement they would like and which activities they would prefer the Organisation to manage.

Where the individual and/or family elects to take on responsibility for management of aspects of their funding and/or supports, negotiation occurs between the individual and/or family and the Organisation to enable each party's requirements, expectations and responsibilities to be clearly established and subsequently documented in a signed shared management agreement (Agreement).

Policy objective

The objective of this policy is to:

- describe shared management, as defined by the Disability Services Commission
- provide guidelines on the roles and responsibilities of all parties involved in shared management.

This revision of the Shared Management Policy replaces all previous policies and Commission publications on shared management.

Principles

People with disability have the same right as other members of society to participate in, direct and implement the decisions which affect their lives (Principle 5, WA Disability Service Act 1994).

Individuals and/or families are generally in the best position to be the natural authorities on their lives.

Individuals and/or families involvement in decision making, choice and control over their supports and service should be supported for the full spectrum of shared management options.

Individuals and/or families involvement in taking responsibility for the management of the individual's funding and supports should be adequately supported by the Commission and the Organisation:

- to the extent of the individual's capacity and preferences
- within the parameters of the Commission's Service Agreement with the Organisation, inclusive of compliance with relevant state and commonwealth legislation, regulations and applicable Commission policies and guidelines ('Requirements').

Definitions

Individual: person with a disability.

Individual funding: the assignment of funding for supports and services for a specific person.

Organisation: disability sector organisation which is an organisation pre-qualified by the Commission to provide services to individuals who meet the Commission's eligibility requirements.

Shared management: an agreed sharing of service/funding management responsibilities between the individual and /or family and the Organisation.

Shared management agreement ('Agreement'): A formal, signed document between the Organisation and the individual and/or family outlining each party's responsibilities in relation to the shared management arrangement.

Program support: the activities that the Organisation provides, other than direct support (support workers) such as staff training, administration/finance, program management, corporate overheads, staff travel, safeguarding and reporting requirements of it's Service Agreement with the Commission.

Requirements: in the context of this policy, 'Requirements' refers to relevant state and commonwealth legislation and regulations and Commission policies and guidelines, as outlined in the Service Agreement between the Commission and the Organisation.

Roles and responsibilities

Disability sector organisation

- Organisations are required under their Service Agreement with the Commission to ensure that their operations and services are conducted in accordance with relevant state and commonwealth legislation, regulations and Commission policies and guidelines ('Requirements'). It is the Organisation's responsibility to keep updated on any changes in these Requirements
- Organisations are responsible for taking reasonable steps to determine that the funding and service management activities made available to an individual and/or family are permissible under these Requirements
- Organisations are responsible for informing individuals and/or families of those Requirements that are applicable to funding and service management activities that an individual and/or family undertakes and to take reasonable steps to determine that the individual and/or family has understood these Requirements prior to proceeding with a shared management Agreement and throughout the term of the Agreement
- Organisations work in partnership with the individual and/or family to determine the agreed roles and responsibilities that each party will undertake
- Organisations are responsible for taking reasonable steps to ensure that they are confident the individual and/or family has the capacity to competently undertake the nominated activities and responsibilities in the management of funding and supports prior to entering into a shared management Agreement. Where the Organisation does not have a past relationship with the individual and/or family, this assessment process may include obtaining references from other organisations and agencies that have had a relationship with the individual and/or family and that may have knowledge of the individual and/or family's capacity to undertake responsibilities.
- Organisations have the discretion to decline to undertake a shared management arrangement with an individual and/or family or to cease an existing shared management arrangement (as per the written Agreement- see below)

- Organisations are responsible for establishing a written shared management agreement ('Agreement') with the individual and/or family which includes:
 1. the agreed roles and responsibilities of the Organisation and the individual and/or family in the management of the individual's funding and supports, across activities such as:
 - recruitment (advertising, interviews, selection) and employment of staff (hiring, firing, employment contracts, police clearances and working with children checks)
 - paying wages and any associated on-costs such as tax, insurance, workers compensation, superannuation
 - training
 - supervision
 - record keeping and budget management
 2. applicable Requirements and the responsibility of each party in ensuring the shared management arrangement complies with these requirements
 3. the individual and/or families' responsibilities as outlined in this policy
 4. the safeguarding and accountability measures that will be implemented (eg level of contact between the individual and the Organisation, record keeping and acquittance processes, specification of a separate bank account)
 5. the Commission's reporting requirements and how these will be met
 6. the requirement for individuals and/or families to keep appropriate records for the legislated period of time required by regulatory authorities, even when this exceeds beyond the term of the Agreement
 7. the exit process if either party wishes to terminate the Agreement or if either party is unable to fulfil the requirements of the Agreement
 8. the duration of the Agreement and frequency of its review
- Organisations are responsible for taking reasonable steps throughout the term of the Agreement to determine that the individual and/or family are meeting their responsibilities under the Agreement

- Organisations must abide by the terms of their Agreements with individuals and/or families
- According to the parameters prescribed by the Commission at the time, the Organisation can retain a portion of the individual funding allocation to cover the cost of the Organisation fulfilling its role as outlined in this policy and to undertake any other program support activities as required
- Organisations must comply with the terms and conditions of the Service Agreement between the Commission and the Organisation, including any reporting requirements

Individual

- The individual and/or family must maintain open communication with the Organisation of a quality and frequency that enables the Organisation to fulfil its obligations under the Agreement with the individual and/or family and its Service Agreement with the Commission
- The individual and/or family must abide by the agreed responsibilities of the Agreement with the Organisation, inclusive of all of the Requirements specified by this Agreement
- The individual and/or family must notify the Organisation if at any time they are unable to meet the agreed responsibilities under the Agreement

Commission

- The Commission allocates individualised funding to individuals according to its policies and procedures of the Commission
- The Commission oversees a prequalification process for Organisations to ensure that Organisations have the required competencies to become preferred providers of disability services
- The Commission provides funding to Organisations for program support activities by providing the option for Organisations to retain a component of individualised funding allocations sufficient to cover these activities
- The Commission provides the Shared Management Policy and Service Agreements to clarify roles and responsibilities of Organisations in enabling individuals to receive funded supports

- The Commission undertakes active contract management of the Service Agreements with Organisations (including reporting, evaluations, contract variations/renewals/cessations). As part of this role, the Commission will monitor the appropriate implementation of the Commission's Shared Management Policy by Organisations
- The Commission maintains a Quality Management Framework, which includes Organisations undertaking self assessments, independent evaluations, incident reporting, complaints management and contract management to guide and provide feedback on the performance and safeguarding of services
- The Commission works in partnership with individuals, families and Organisations:
 - to support the development of the sector's knowledge, capacity and capability for self directed supports and services, inclusive of shared management
 - to represent the needs of individuals, families and organisations in relation to self direction of supports and services to external agencies that establish the regulatory environment

Background

The practice of people managing their own supports pre-dates formal service provision. It continues today as people use their own income to pay others to assist them in their daily living.

Since 1990, the Commission has provided grants to people with disability and their families to self-manage their own funding and engage their own supports through the LAC program. Since 2006, some Organisations have facilitated the option for people to engage in the shared management of their individualised funding and supports, including the self-management of their funding.

While the Commission is not responsible for the regulations that apply to this area of activity (such as taxation, industrial relations, and occupational health and safety) it has sought to reduce the risks to individuals and organisations engaging in shared management by:

- developing the shared management policy which provides guidelines for the roles of each party (previous versions 2005 and 2008)
- In 2006 the Commission sponsored the development of the Shared Management Model Resource File, Shared Management Model Responsibility Guide and accompanying Your Choice brochure for individuals and organisations. These are now out of date and not in publication
- In 2011, the Commission provided a grant to disability sector organisations to undertake further work with the sector to increase understanding of the

relevant regulations and how best to support people in shared management arrangements.

This revision of the Shared Management Policy replaces all previous policies and Commission publications on shared management.

Consultation process

This policy was developed by the Commission’s Service Contracting and Development Directorate (SCD) and Community and Sector Development Directorate (CSD), in consultation with a steering group of Organisations. The Commission’s Local Area Coordination and Policy and Strategy Directorates were also consulted.

Implementation

This policy, or information derived from this policy, is to be communicated in a user accessible format using the following strategies:

| Stakeholder | Strategy |
|----------------------------------|--|
| SCD | <ul style="list-style-type: none"> • Email distribution of policy to SCD staff • Ongoing reference to the policy in training and development of SCD staff and induction of new staff • Available on SCD Policy Database on W drive |
| Other Commission personnel | <ul style="list-style-type: none"> • Presentation of policy to Corporate Executive for endorsement • Email distribution of policy to LAC executive management for distribution to LACs • Posted on the Commission’s intranet listing of Policies |
| Organisations | <ul style="list-style-type: none"> • Mail distribution to Organisations • Presented at sector forums organised as part of the 2011/12 Commission funded ‘Develop sector capacity for shared management’ project (Perth Home Care Services) • Posted on the Internet |
| Individuals, families and carers | <ul style="list-style-type: none"> • Ongoing information sharing by LACs and Organisations • Presented at forums organised as part of the 2011/12 Commission funded ‘Develop sector capacity for shared management’ project (Perth Home Care Services) • Posted on the Internet |

Funding or resource implications

This policy review makes no change to the funding model.

Related commission policies

Program funding parameters (Accommodation Support; Alternatives to Employment; Community Support)

Business Rules Funding Policy

Funding Portability Policy

Set-Up Costs for Individual Funding

Family Members as Paid Carers Policy

Evaluation and review

This policy is reviewed according to the standard Director General policy review mechanism.

For further information contact:

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